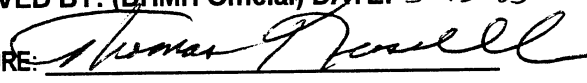


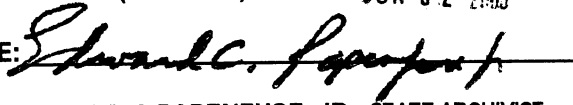
DEPARTMENT OF GENERAL SERVICES-STATE RECORDS CENTER
RECORDS RETENTION AND DISPOSAL SCHEDULE

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DEPARTMENT OF HEALTH & MENTAL HYGIENE
 OFFICE OF THE INSPECTOR GENERAL

Item	Series Title and Description of Records	Authorized Retention Period
1	OIG General Subject Files Includes information and materials on subjects of interest to the various units of the Office including mailings, brochures, news articles, print outs of web pages, correspondence, etc.	1. Screen information in files annually, discarding obsolete/superseded reference information that is no longer needed. Retain correspondence dealing with OIG program issues for four (4) years then, destroy if no longer needed.
2	Corporate Compliance Case Files Investigational documentation including an action log, case notes, correspondence, evidence, research, and miscellaneous documents that pertain to a specific case.	2. Retain cases in office for four (4) years after closing and until all audit requirements are met. Transfer closed files to the State Records Center for ten (10) years then destroy. Landmark cases are to be moved to the History File for permanent retention, with eventual transfer to the State Archives.
3	Audit Division Files a. Legislative Audits b. Federal Audits c. Single Audits d. Internal Audits e. Provider Audits f. Special Audits g. Quarterly Status Reports	3. a. Retain hard copy of audit report in office for four (4) years from the date of the report; transfer to records center for two (2) years, then destroy. Retain electronic copy of audit report in office for six (6) years, then erase. Retain audit correspondence in office for four (4) years then destroy. b. Retain in office for five (5) years then destroy. c. Retain in office for five (5) years then destroy. d. Retain hard copy of audit report in office for four (4) years from the date of the report; transfer to records center for two (2) years, then destroy. Retain electronic copy of audit report in office for six (6) years, then erase. Retain audit work papers in office for four (4) years then destroy. e. Retain electronic copy in office for five (5) years then destroy. f. Retain hard copy of audit report in office for four (4) years from the date of the report; transfer to records center for two (2) years, then destroy. Retain electronic copy of audit report in office for six (6) years, then erase. Retain audit correspondence in office for four (4) years then destroy g. Retain in office for three (3) years then destroy.

APPROVED BY: (DHMH Official) DATE: 3-15-05
 SIGNATURE: 
 NAME/TITLE: THOMAS RUSSELL, DHMH INSPECTOR GENERAL

AUTHORIZED BY: (Archives) DATE: JUN 02 2005
 SIGNATURE: 
 NAME/TITLE: EDWARD C PAPENFUSE, JR., STATE ARCHIVIST

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DEPARTMENT OF HEALTH & MENTAL HYGIENE
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Item	Series Title and Description of Records	Authorized Retention Period
4	Secondary Employment File Annual report required for DHMH employees, grade 18 and above.	4. Retain in office for five (5) years, then destroy.
5	Ethics Case Files-DHMH Employees	5. Retain closed files in office for five (5) years then destroy.
6	IRB Applications for Research File unapproved applications in annual folders. (Approved applications are included in the IRB Research Files).	6. Retain unapproved applications in office for four (4) years then destroy.
7	IRB Research Files Approved applications, research protocols containing information on the procedures, instruments, and details of individual research studies, Annual Review Notices, interim reports, final reports, etc.	7. Screen files upon completion of project; remove unneeded working papers, duplicate copies and interim materials. Retain research files for completed or terminated projects in office for three years after the close of the study then destroy. Retain one copy of the final report permanently, transfer periodically to the State Archives.